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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/672,454	09/26/2003	Daniel Huong-Yu Wu	02546.002400	9742
5514	7590	06/15/2006	EXAMINER	
FITZPATRICK CELLA HARPER & SCINTO 30 ROCKEFELLER PLAZA NEW YORK, NY 10112			KOYAMA, KUMIKO C	
			ART UNIT	PAPER NUMBER
			2876	

DATE MAILED: 06/15/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

10/672,454

Applicant(s)

WU ET AL.

Examiner

Kumiko C. Koyama

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 03 April 2006.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-33 is/are pending in the application.
- 4a) Of the above claim(s) 15-19 and 23 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-14, 20-22 and 24-33 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 08 December 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

### DETAILED ACTION

Amendment received on October 31, 2005 has been acknowledged.

Response to Restriction Requirement received on April 03, 2006 has been acknowledged.

Accordingly, claims 1-14, 20-22, and 24-33 have been examined as provided below, and claims 15-19 and 23 have been withdrawn from consideration as non-elected claims.

#### *Claim Rejections - 35 USC § 102*

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claims 1, 20 and 24 are rejected under 35 U.S.C. 102(e) as being anticipated by Wright et al (US 6,674,924).

Wright discloses an apparatus and method for dynamically routing documents using dynamic control documents and data streams (col 4, lines 30-37). The apparatus includes a document input mechanism 110, which is a device capable of scanning or imaging a document, such as flatbed scanners, drum scanners, digital copiers, fax machines, multi-function copiers etc (col 6, lines 22-26). The document input mechanism 110 is to scan/image a paper-based document and create a computer file that contains a digital image of a paper-based document (col 6, lines 28-31). The document input mechanism is means for receiving the document to be

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routed, the document being contained on a physical media. Wright discloses that a globally unique identifier is applied to the paper-base document, and the a separate identifier may be placed on each page of a paper-based document prior to scanning (col 7, lines 41-50). When the paper-based document is subsequently scanned, an image of the paper-based document including the globally unique document identifier is created (col 7, lines 50-52). Such disclosure teaches means for scanning the document and producing an electronic file comprising data representing a type of and a content of the document. The image of the paper-based document is then sent to the paper gateway system 125, where the previously-determined document identifier is extracted from the image (col 7, lines 52-55), which discloses means for extracting data from the document to be routed. The document discriminator searches document images fro the globally unique identifier used to identify the document image and relate that document image to its indexing information and other document details (col 16, lines 46-52). When a globally unique identifier is located and identified, the document discriminator determines whether or not the located identifier is valid (col 16, lines 59-61), and such disclosure teaches means for validating the data in the electronic file. Wright discloses a paper gateway 225 providing an interface for receiving and processing document images and then routing those document images to image repository 226 (col 15, lines 18-20). Wright also discloses a document filer that directs the storage of the document image and related information. The document filer checks a database of filing instructions to determine where and how the document image is to be filed (col 17, lines 28-32). Such disclosure teaches means for routing data and the document to the desired location based upon the type and content of the document.

***Claim Rejections - 35 USC § 103***

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 2, 3, 5-9, 11, 14, 21, 22 and 25-33 are rejected under 35 U.S.C. 103(a) as being unpatentable over Wright in view of Melen (US 6,426,806).

Re claims 2, 3, 21, 22 and 25-27: Wright discloses an apparatus and method for dynamically routing documents using dynamic control documents and data streams (col 4, lines 30-37). The apparatus includes a document input mechanism 110, which is a device capable of scanning or imaging a document, such as flatbed scanners, drum scanners, digital copiers, fax machines, multi-function copiers etc (col 6, lines 22-26). The document input mechanism 110 is to scan/image a paper-based document and create a computer file that contains a digital image of a paper-based document (col 6, lines 28-31). The document input mechanism is means for receiving the document to be routed, the document being contained on a physical media. Wright discloses that a globally unique identifier is applied to the paper-base document, and the a separate identifier may be placed on each page of a paper-based document prior to scanning (col 7, lines 41-50). When the paper-based document is subsequently scanned, an image of the paper-based document including the globally unique document identifier is created (col 7, lines 50-52). Such disclosure teaches means for scanning the document and producing an electronic file comprising data representing a type of and a content of the document. The image of the paper-based document is then sent to the paper gateway system 125, where the previously-determined

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document identifier is extracted from the image (col 7, lines 52-55), which discloses means for extracting data from the document to be routed. The document discriminator searches document images from the globally unique identifier used to identify the document image and relate that document image to its indexing information and other document details (col 16, lines 46-52).

When a globally unique identifier is located and identified, the document discriminator determines whether or not the located identifier is valid (col 16, lines 59-61), and such disclosure teaches means for validating the data in the electronic file. Wright discloses a paper gateway 225 providing an interface for receiving and processing document images and then routing those document images to image repository 226 (col 15, lines 18-20). Wright also discloses a document filer that directs the storage of the document image and related information. The document filer checks a database of filing instructions to determine where and how the document image is to be filed (col 17, lines 28-32). Such disclosure teaches means for routing data and the document to the desired location based upon the type and content of the document.

Wright fails to specifically disclose comparing a data to one or more predetermined business rules.

Melen discloses that the CPU compares the tentative identifier (or the scanned control sheet information) to the list of existing identifiers to determine whether any existing identifier matches tentative identifier (col 3, lines 13-20).

Therefore, it would have been obvious to an artisan of ordinary skill in the art at the time the invention was made to modify the teachings of Melen to the teachings of Wright and compare the scanned identifier with a list of existing identifiers because in order to accurately route the document to its proper location, it is necessary that the proper user assigned instructions

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and data are retrieved from the predetermined locations directed by the identifier and the identifier must exist in order to do such accurate retrieval.

Re claim 5: Wright further discloses that the document receiver converts received images into a different file format (col 16, lines 22-30).

Re claims 6 and 11: Wright further discloses indexing a document is the processing assigning a meta-data, thereby describing the document and/or the contents of the document, and using the computer to capture the meta-data. The meta-data, or indexing information, is stored in a record in an image index database at the time of indexing. System 100 generates or coordinates a globally unique image document identifier (col 7, lines 7-16).

Re claim 7: Wright further discloses that the document receiver can be adapted to receive document images by email, by fax, through the internet or from any other network source, such as scanners on local and wide area networks (col 16, lines 5-12).

Re claim 8: Wright further discloses that the document receiver can be adapted to receive document images by fax, and also teaches a connection for a telephone access and dial-up phone connection (col 6, lines 60-col 7, lines 6).

Re claims 9 and 28: Wright fails to teach one of OCR, ICR and OMR techniques.

Melen discloses that the scanned control sheet information is read out of the scan storage memory and interpreted by the OCR (col 2, lines 50-52).

Therefore, it would have been obvious to an artisan of ordinary skill in the art at the time the invention was made to modify the teachings of Melen to the teachings of Wright and perform an OCR technique to the scanned document because by converting the scanned document into

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ASCII characters, the document can be search using keywords typed in by a person and can provide an additional retrieval function to the document database.

Re claim 14: Wright discloses an image repository 226 that can be a directory of subdirectory or a series of directories or subdirectories containing a series of images where each image has a globally unique document identifier, taken from the pre-printed labels or alternatively, created and assigned. The image repository 226 may be a structured query language compatible database file capable of storing records containing images (col 14, lines 10-18). Wright also discloses that the image index database 228 which is a database used to store indexing information for the document images is also a structured query language (SQL) compatible data base file capable of storing information, including indexed document names, for the images stored in image repository (col 14, lines 47-53).

Re claims 29 and 30: Wright further discloses a tagged image format (TIFF) and a portable document format (PDF) (col 16, lines 24-27). Wright further discloses that the document receiver receives the document, determines if a conversion is needed, and performs the conversion to the desired file format (col 16, lines 25-30).

Re claims 31-33: Wright further discloses a tag that indicates the minimum confidence level the recognition software must achieve for a located barcode to be considered valid (col 20, lines 40-45).

5. Claim 4 is rejected under 35 U.S.C. 103(a) as being unpatentable over Wright in view of Melen as applied to claim 3 above, and further in view of Gillings et al (US 5,666,490). The teachings of Wright as modified by Melen have been discussed above.



Wright as modified Melen fails to teach means for rejecting noncompliant data and sending a notification of the same to a predetermined address.

Gillings discloses computer network system and method for managing documents. Gillings discloses that the CRF packet information is used to verify pages which are received from each protocol. After each page of a document is scanned, the index process compares the index information against the CRF packet definition to determine if the page received is a valid page. If the index information for a document is invalid, the system will reject the document and notify the user (col 9, lines 27-34).

Therefore, it would have been obvious to an artisan of ordinary skill in the art at the time the invention was made to integrate the teachings of Gillings to the teachings of Wright as modified by Melen in order to indicate that there is an errors in the document data to ensure that all the document data is corrected inputted and scanned into the system, such that the errors is not carried out through the remaining of the process, which is further cause errors and invalid data storage.

6. Claim 10 is rejected under 35 U.S.C. 103(a) as being unpatentable over Wright in view of Melen as applied to claim 5 above, and further in view of Rudak (US 5,014,329). The teachings of Wright as modified by Melen have been discussed above.

Wright as modified by Melen fails to teach that the output file format is one of ASCII text, ANSI X.12, EDIFACT, XML, EANCOM, TRADACOMS, ODETTE, and a customer-specified format.

Rudak teaches that an electronic image of the text is processed by the OCR algorithm, where the characters of interest are converted to ASCII data (col 1, lines 44-46).

Therefore, it would have been obvious to an artisan of ordinary skill in the art at the time the invention was made to integrate the teachings of Rudak to the teachings of Wright as modified by Melen such that the document can be easily edited and displayed by a computer to further update the document to date.

7. Claim 12 is rejected under 35 U.S.C. 103(a) as being unpatentable over Wright in view of Melen as applied to claim 3 above, and further in view of Wing (US 6,650,440). The teachings of Wright as modified by Melen have been discussed above.

Wright as modified by Melen fails to teach that the routing means utilizes a message transport protocol selected from the list consisting of HTTP, SMTP, and FTP or secured variants thereof.

Wing teaches a Simple Mail Transfer Protocol (SMTP) servers for routing e-mail to and from different computer networks (col 8, lines 50-52).

Therefore, it would have been obvious to an artisan of ordinary skill in the art at the time the invention was made to integrate the teachings of Wing to the teachings of Wright as modified by Melen in order to route the document data to a remote location where there is a larger capacity database, such that all the document data in the same routing location are combine in one database to help the organization.

8. Claim 13 is rejected under 35 U.S.C. 103(a) as being unpatentable over Wright in view of Melen as applied to claim 3 above, and further in view of Ett (US 5,227,893). The teachings of Wright as modified by Melen have been discussed above.

Wright as modified by Melen fails to teach means for generating billing records.

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Ett teaches a pseudo-bar code control of image transmission utilizing in a trucking company that generates or receives from the shipper several forms such as bills of lading (col 8, lines 52-55).

Therefore, it would have been obvious to an artisan of ordinary skill in the art at the time the invention was made to integrate the teachings of Ett to the teachings of Wright as modified by Melen in order to utilize Melen's system in various different environments and business to widen the use to increase users and buyers of the products or system.

### ***Response to Arguments***

9. Applicant's arguments with respect to claims 1-14 and 20-22 have been considered but are moot in view of the new ground(s) of rejection.

Applicant amends independent claims 1-3 and 20-22 with new limitation, such as "for routing a document to a desired location," "to be routed," "the desired location," "the extracted data, the extracted data comprising," etc. Such new limitation necessitated new search and consideration. Claims 24-33 were newly added. Therefore, this action is Final necessitated by Amendment.

### ***Conclusion***

10. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

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A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Kumiko C. Koyama whose telephone number is 571-272-2394.. The examiner can normally be reached on Monday-Friday 8am-4:30pm.

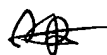
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Michael G. Lee can be reached on 571-272-2398. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

*Kumiko C. Koyama*

Kumiko C. Koyama  
June 12, 2006

  
STEVEN S. PAIK  
PRIMARY EXAMINER